

# COBIT® 5 Deep Dive

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**CRISC**

**CGEIT**

**CISM**

**CISA**

2013 Fall Conference – “Sail to Success”

# COBIT® 5 Deep Dive

(based on ISACA© Materials)

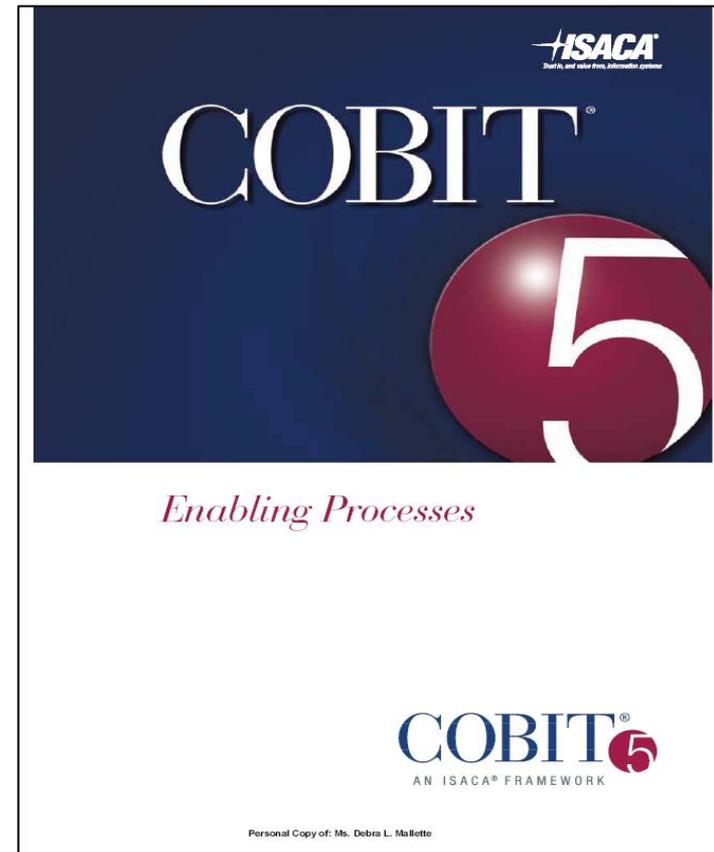
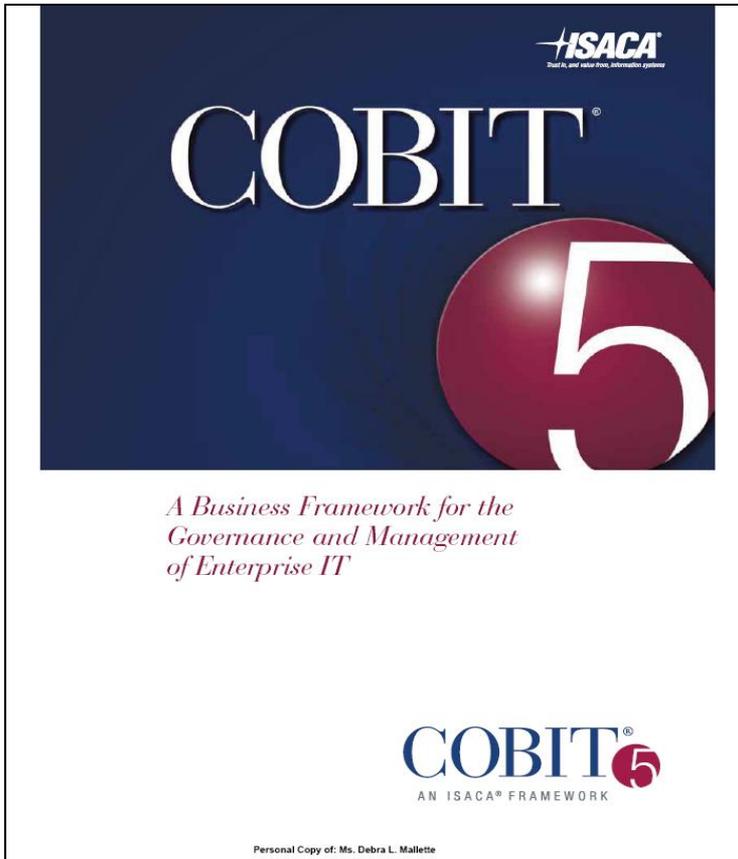
[www.isaca.org/cobit](http://www.isaca.org/cobit)

## COBIT® 5

- Business Framework
  - Five Principles
  - Seven Enablers
  - Governance and Management
- Enabling Processes
- Implementation Life Cycle
- Process Capability Assessment
- Assurance

# COBIT<sup>®</sup> 5

AN ISACA<sup>®</sup> FRAMEWORK



# Why is COBIT important to Your Enterprise?

- IT audit and assurance de-facto standard
- Governance, Risk and Compliance
- Information Security
- Business value-focused IT Process Framework
- ITIL, CMMI and PMBOK synergies
- Governance and Management processes
- “How to” monitor, evaluate, assess and improve business process performance

# COBIT Framework to Achieve Business

## Goals

Achieve  
Operational  
Excellence

Generate  
Business  
Value

Optimize  
Costs

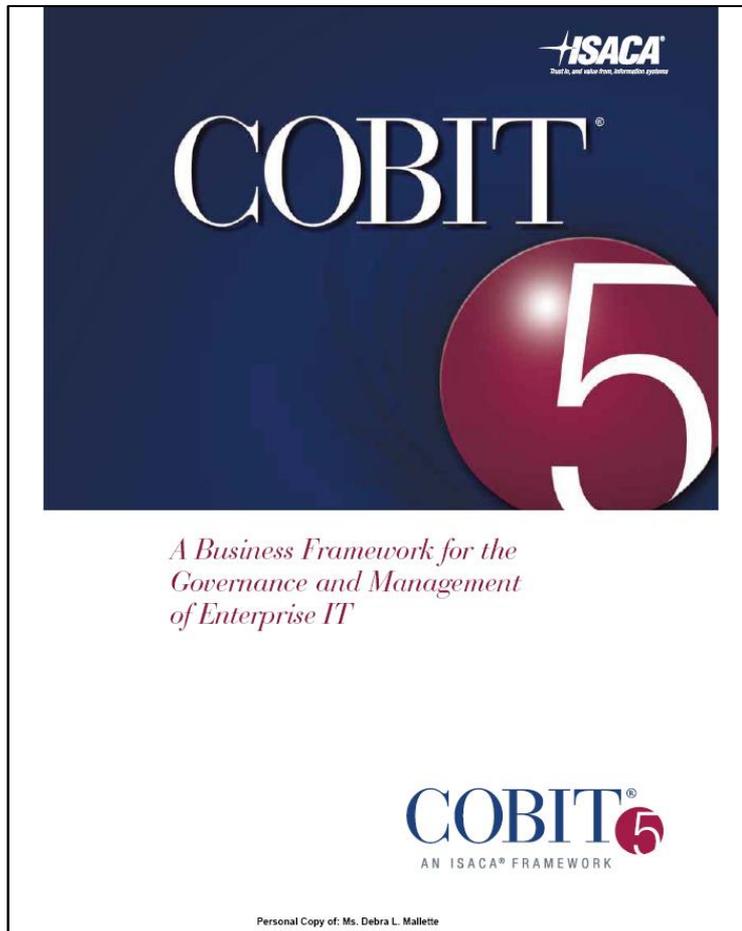
Make  
Quality Business  
Decisions

Maintain  
Acceptable Level  
of IT-related Risk



Information

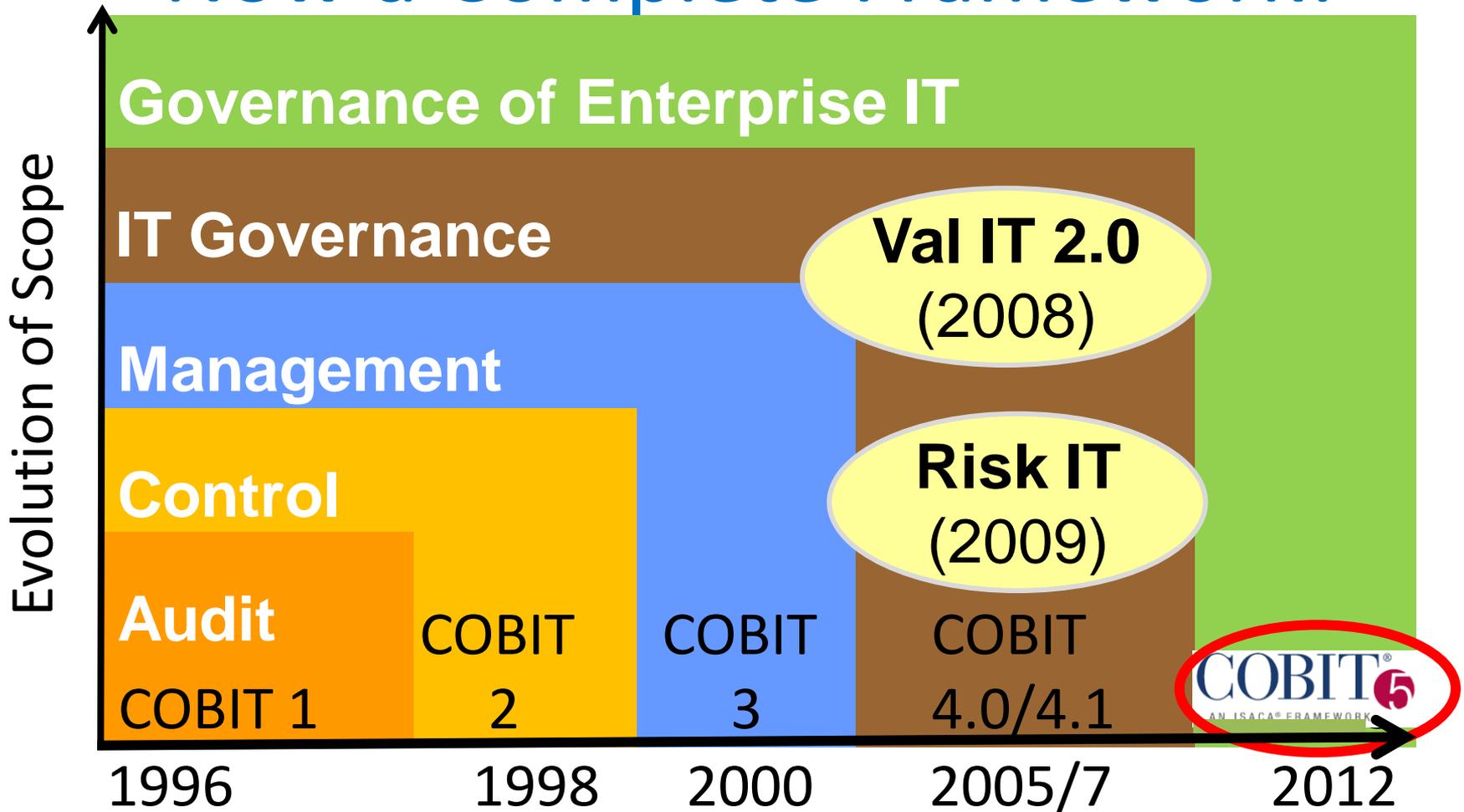
Technology



## *A Business Framework for the Governance and Management of Enterprise IT*

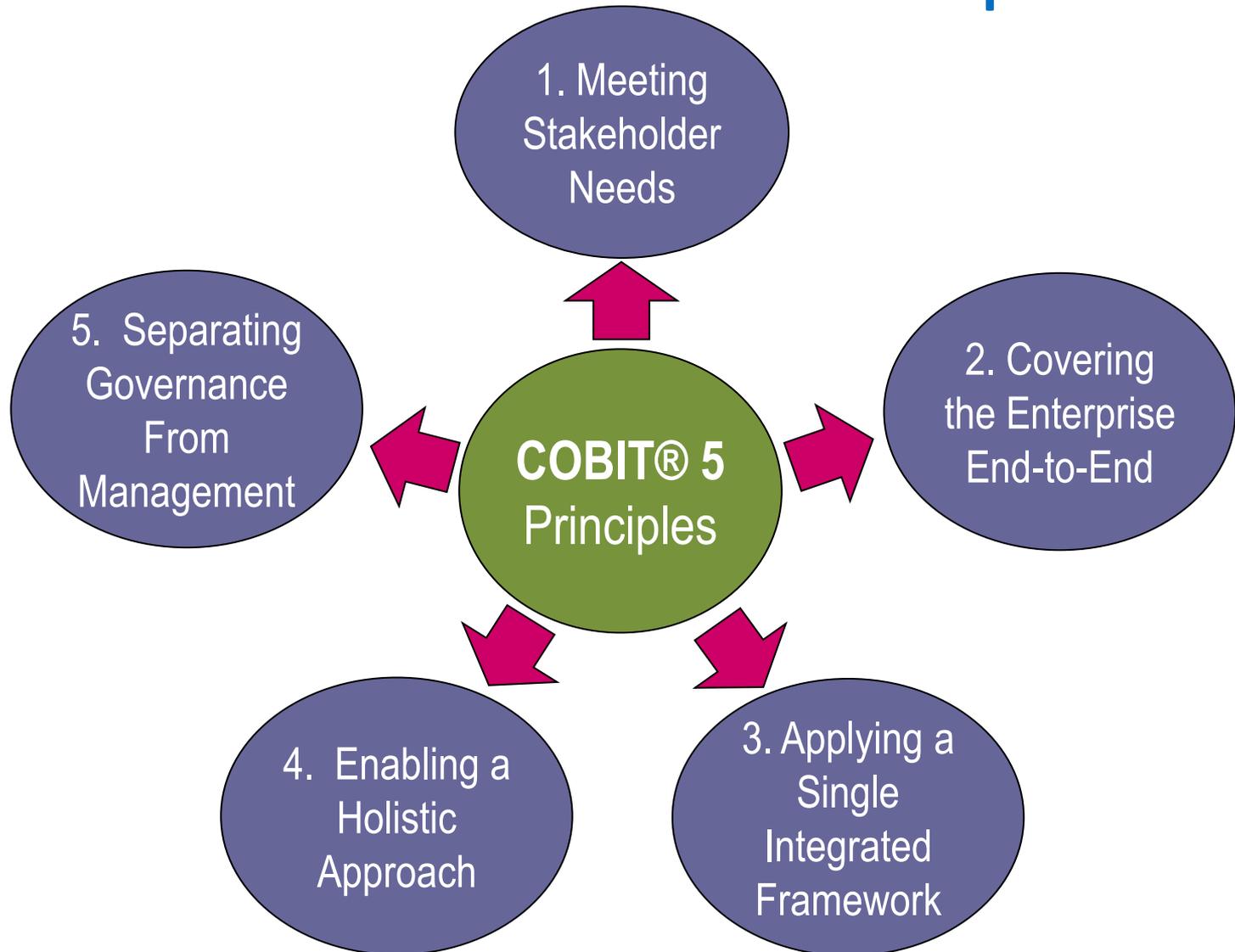
- Five Principles
- Seven Enablers
- Governance and Management
- Implementation Lifecycle
- Assessment Approach

# Now a Complete Framework!



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# COBIT® 5 – Five Principles



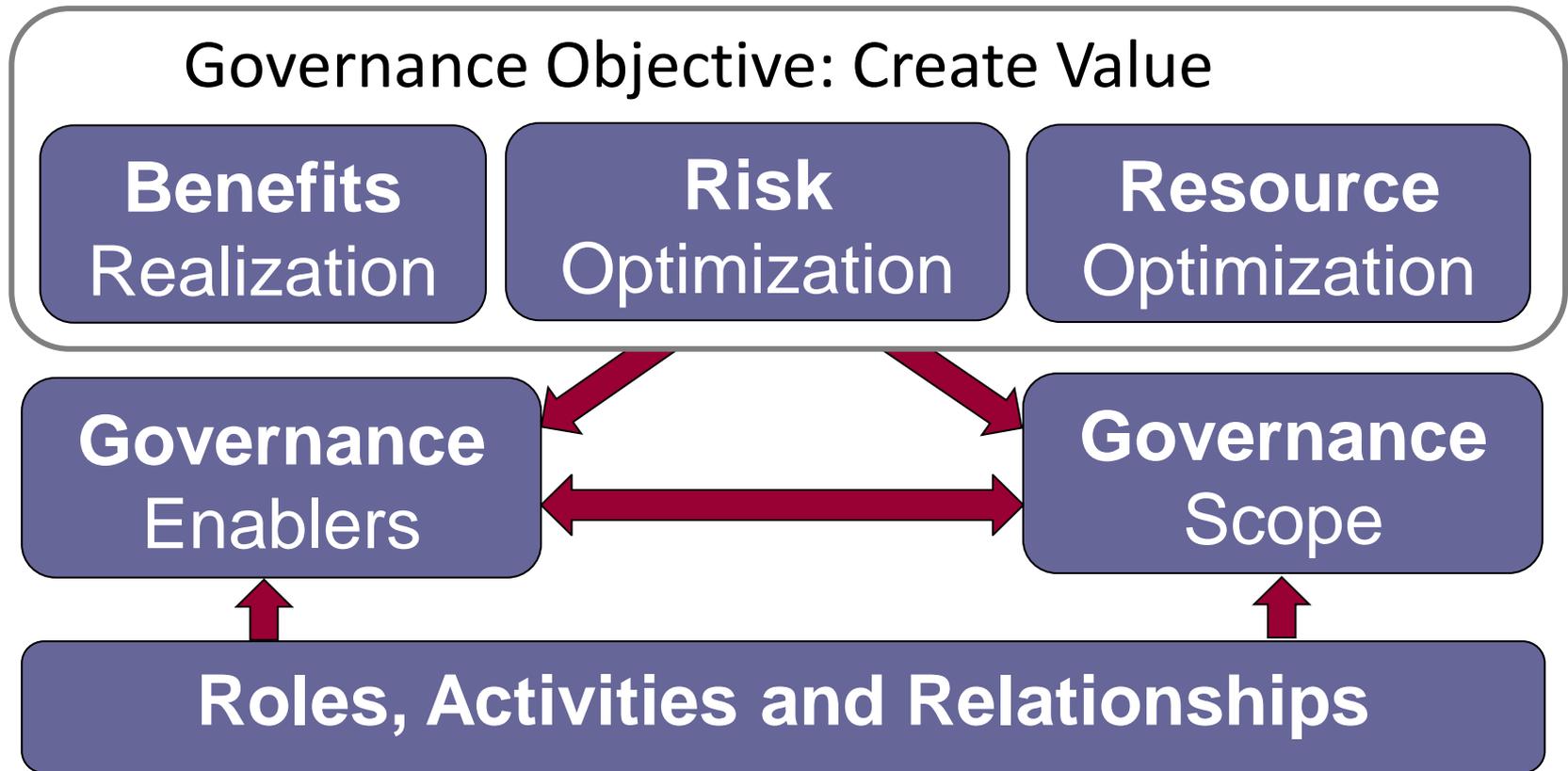
# Principle 1: Meeting Stakeholder Needs



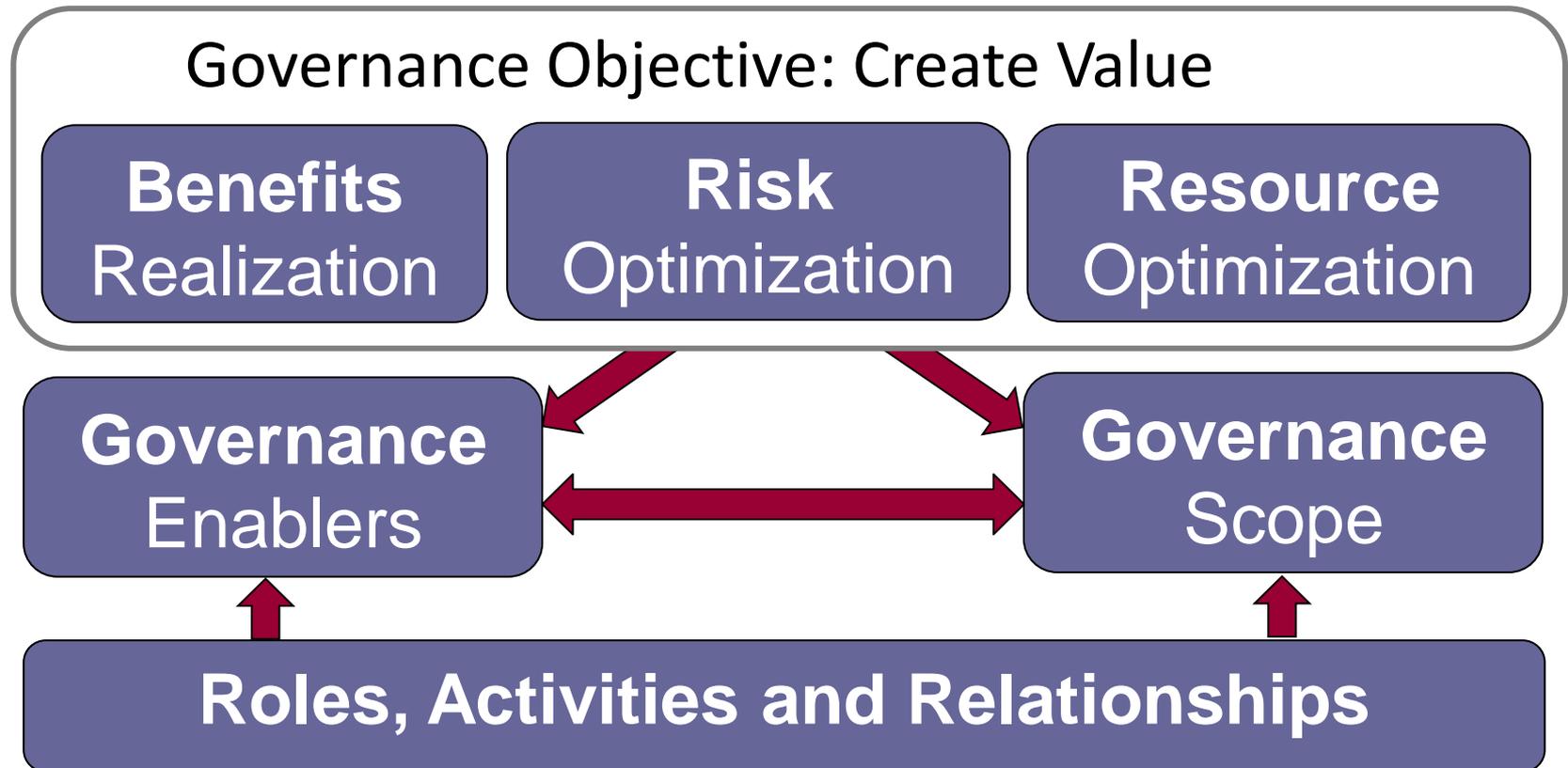
# Principle 1: Meeting Stakeholder Needs



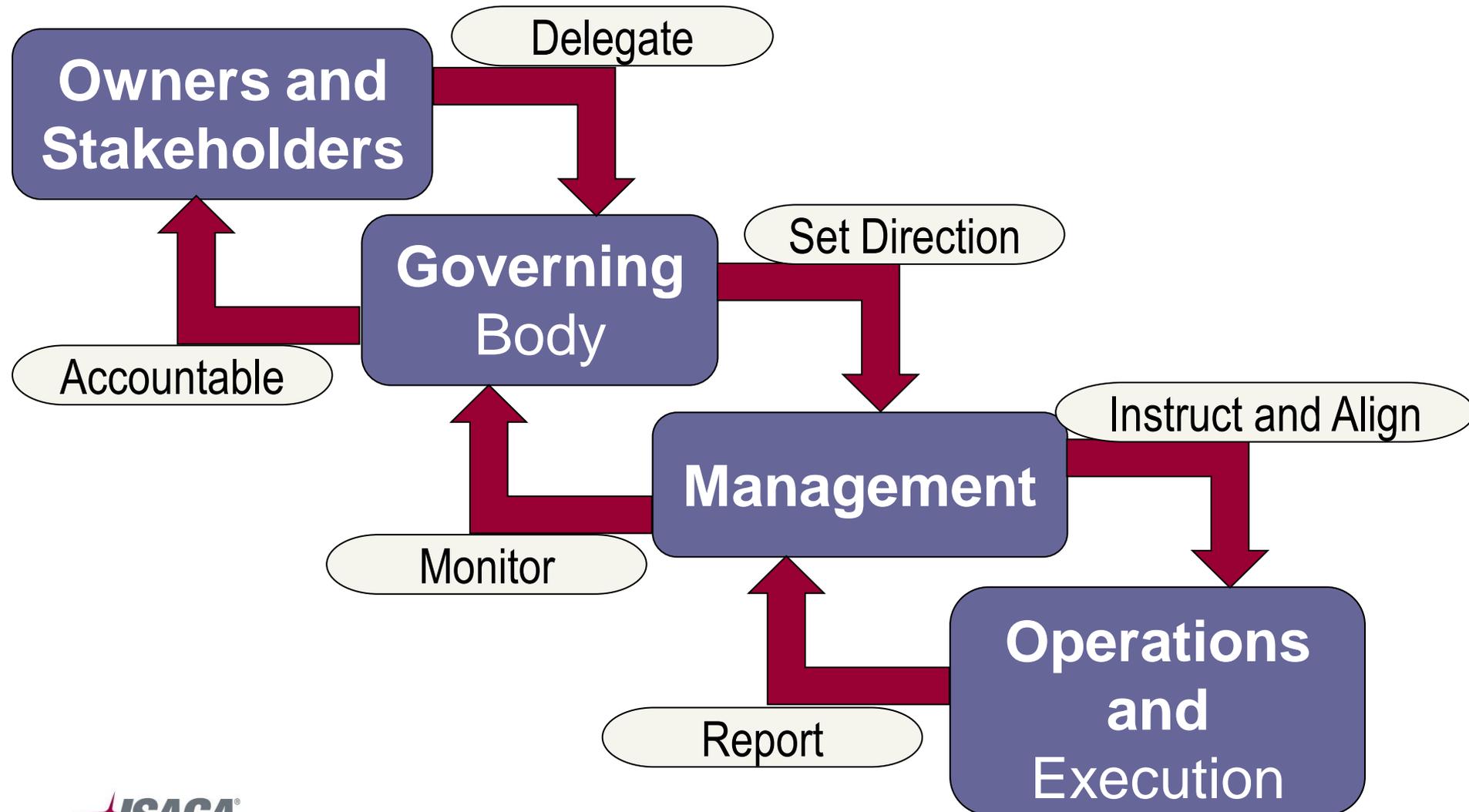
# Principle 2: Covering the Enterprise End-to-End



# Principle 2: Covering the Enterprise End-to-End with Roles, Activities and Relationships



# Principle 2: Covering the Enterprise End to End with Roles, Activities and Relationships



# Principle 3: Applying a Single Integrated Framework

COBIT<sup>®</sup> 5  
AN ISACA<sup>®</sup> FRAMEWORK

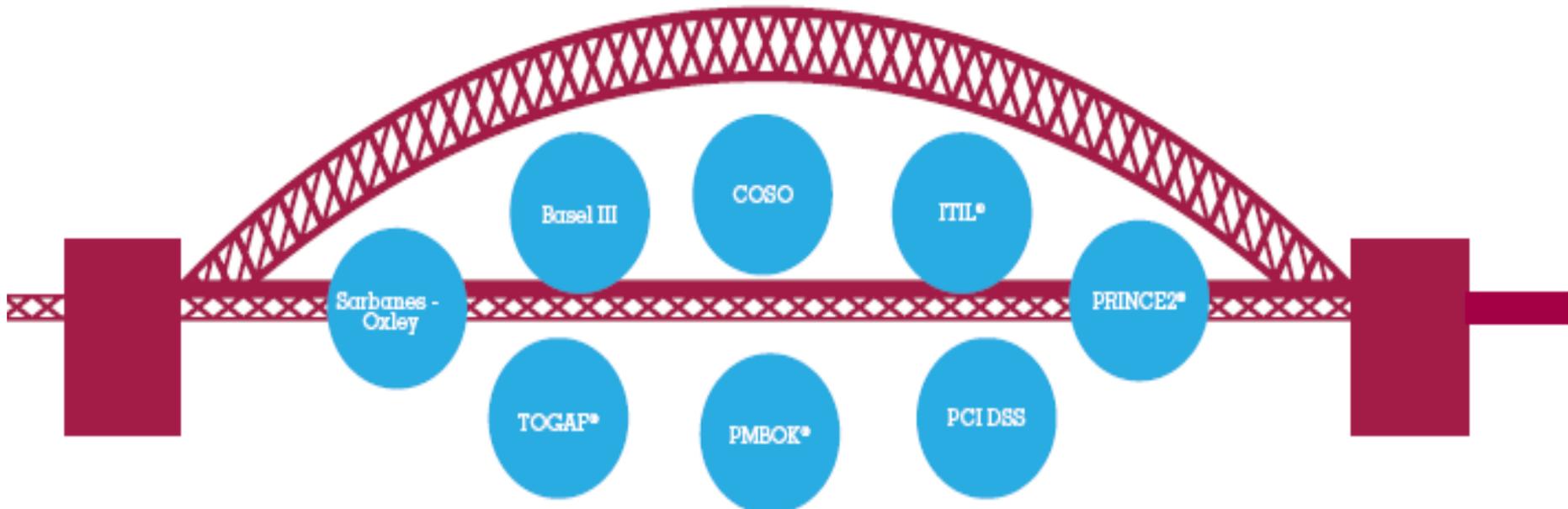
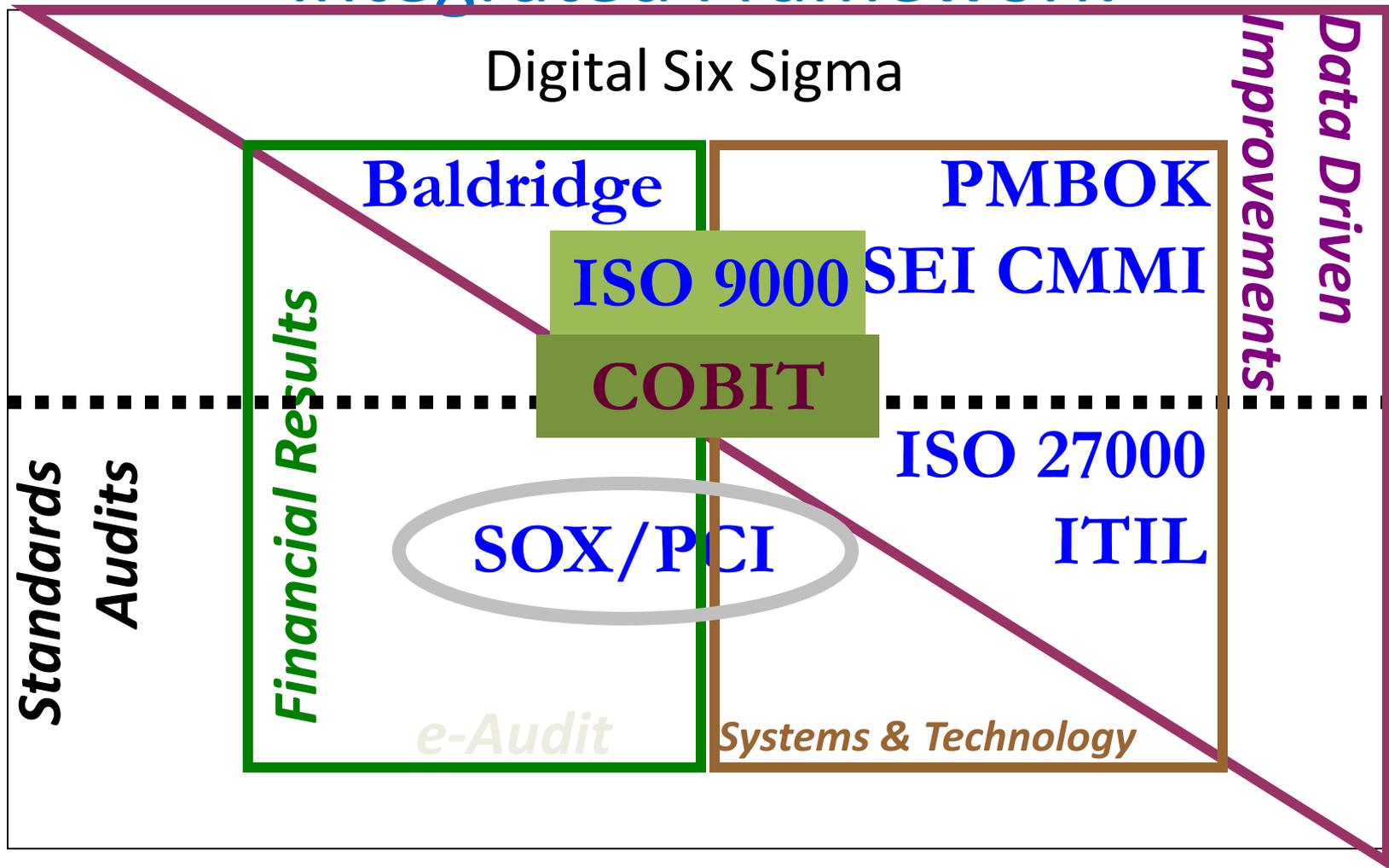


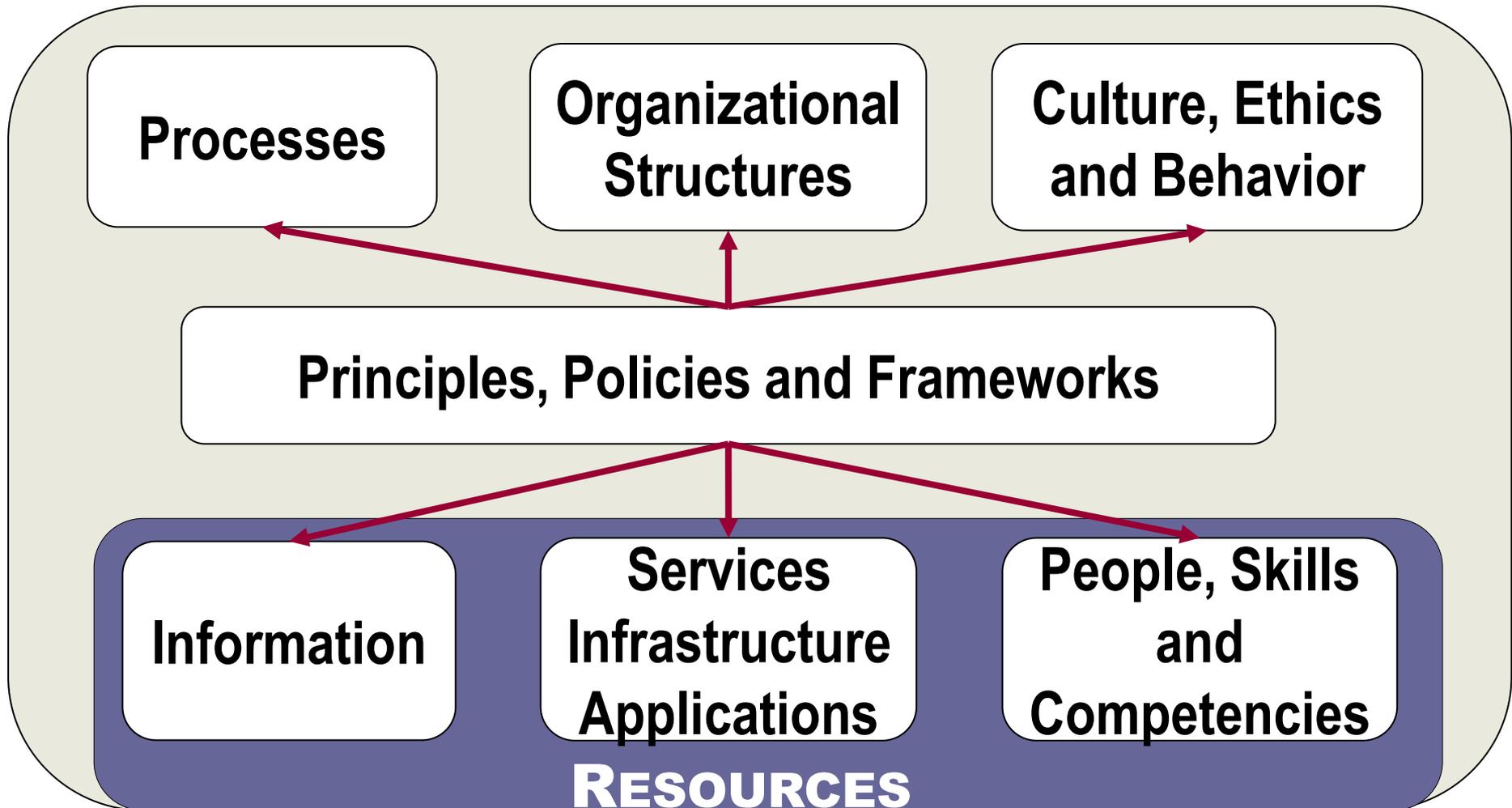
Diagram excerpt from COBIT 5 Essential Facts - Fact 4:

“COBIT 5 brings order to complex standards, regulations and frameworks”

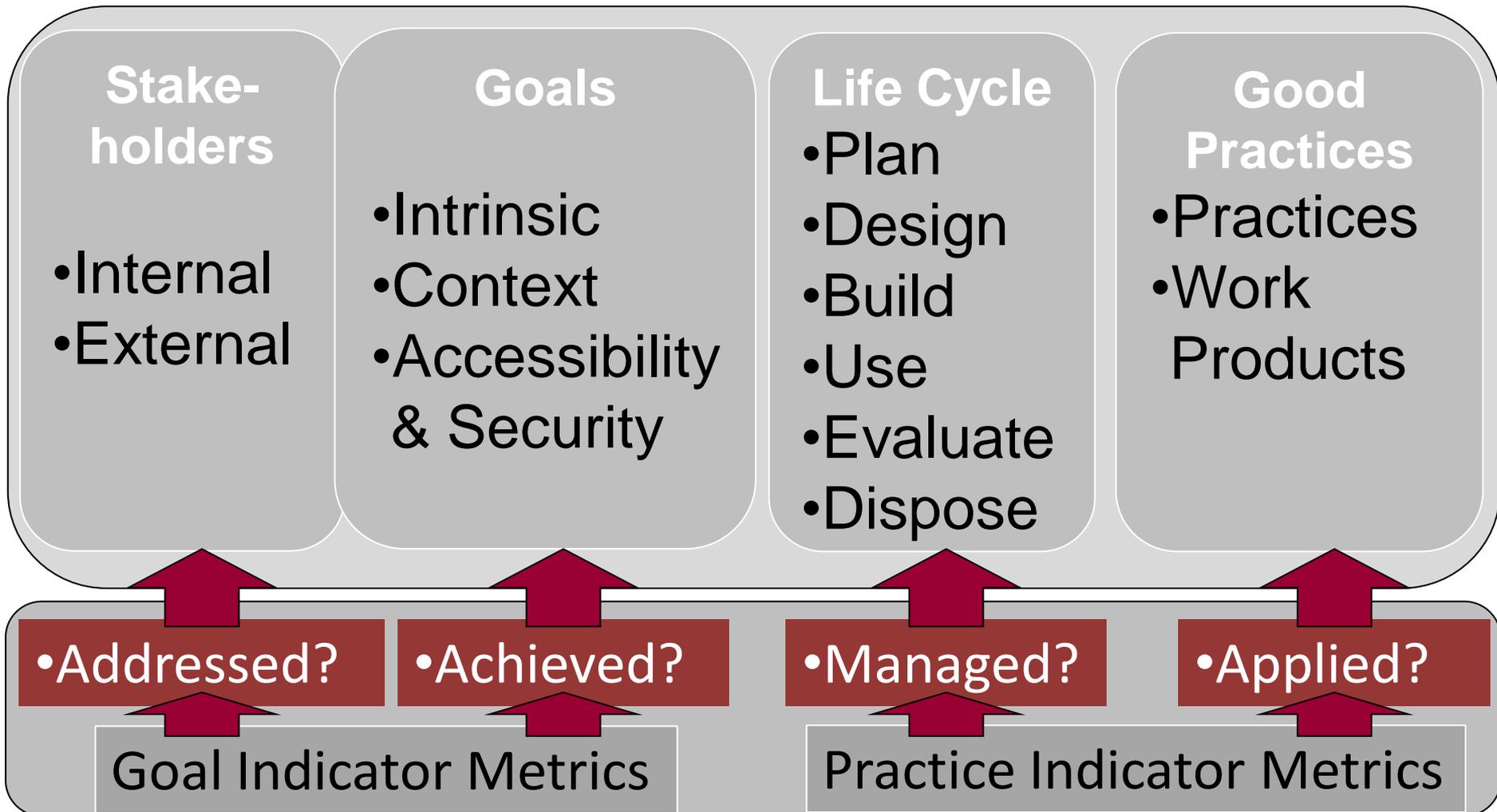
# Principle 3: Applying a Single Integrated Framework



# Principle 4: Enabling a Holistic Approach

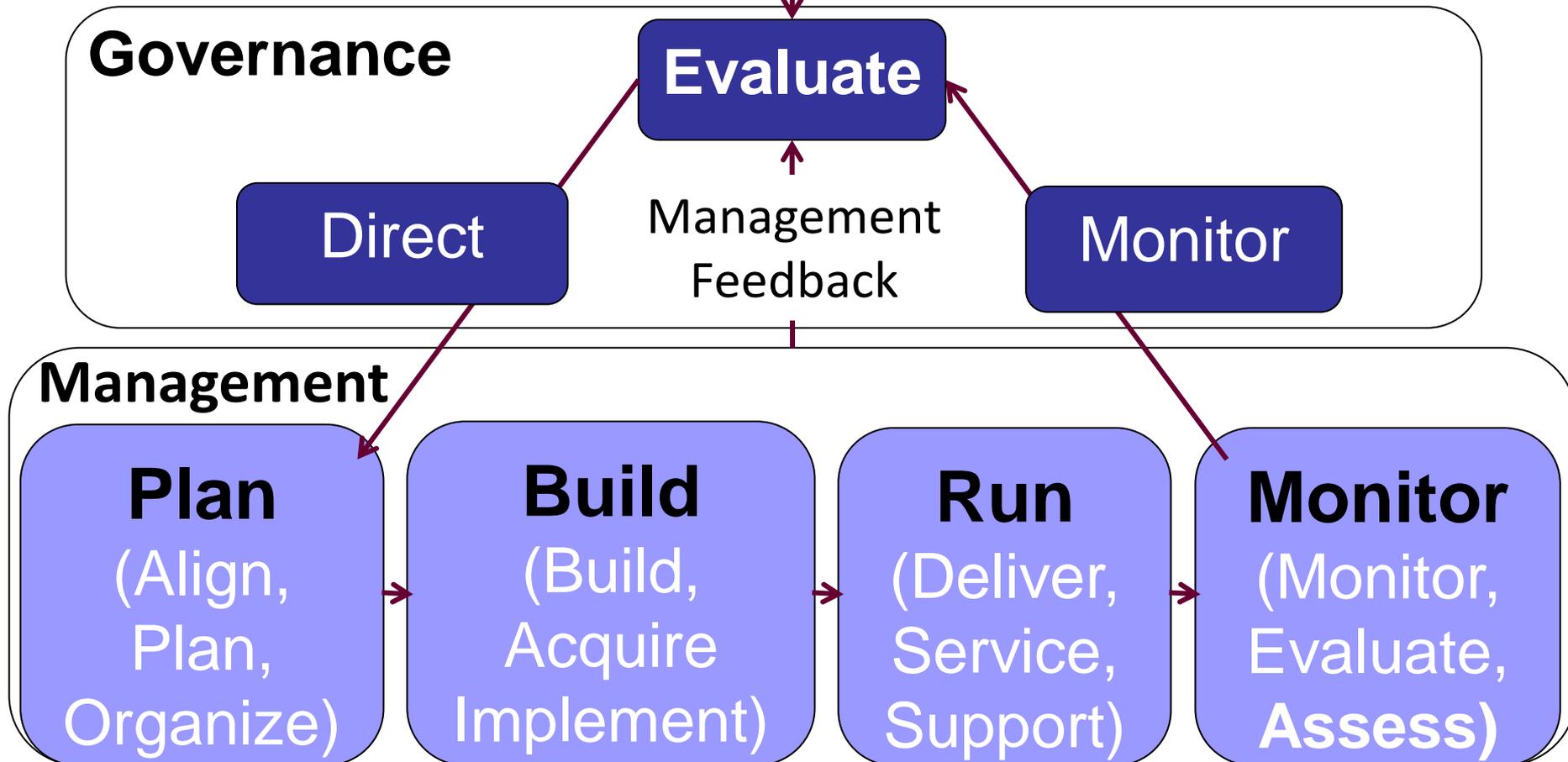


# Enablers and Performance

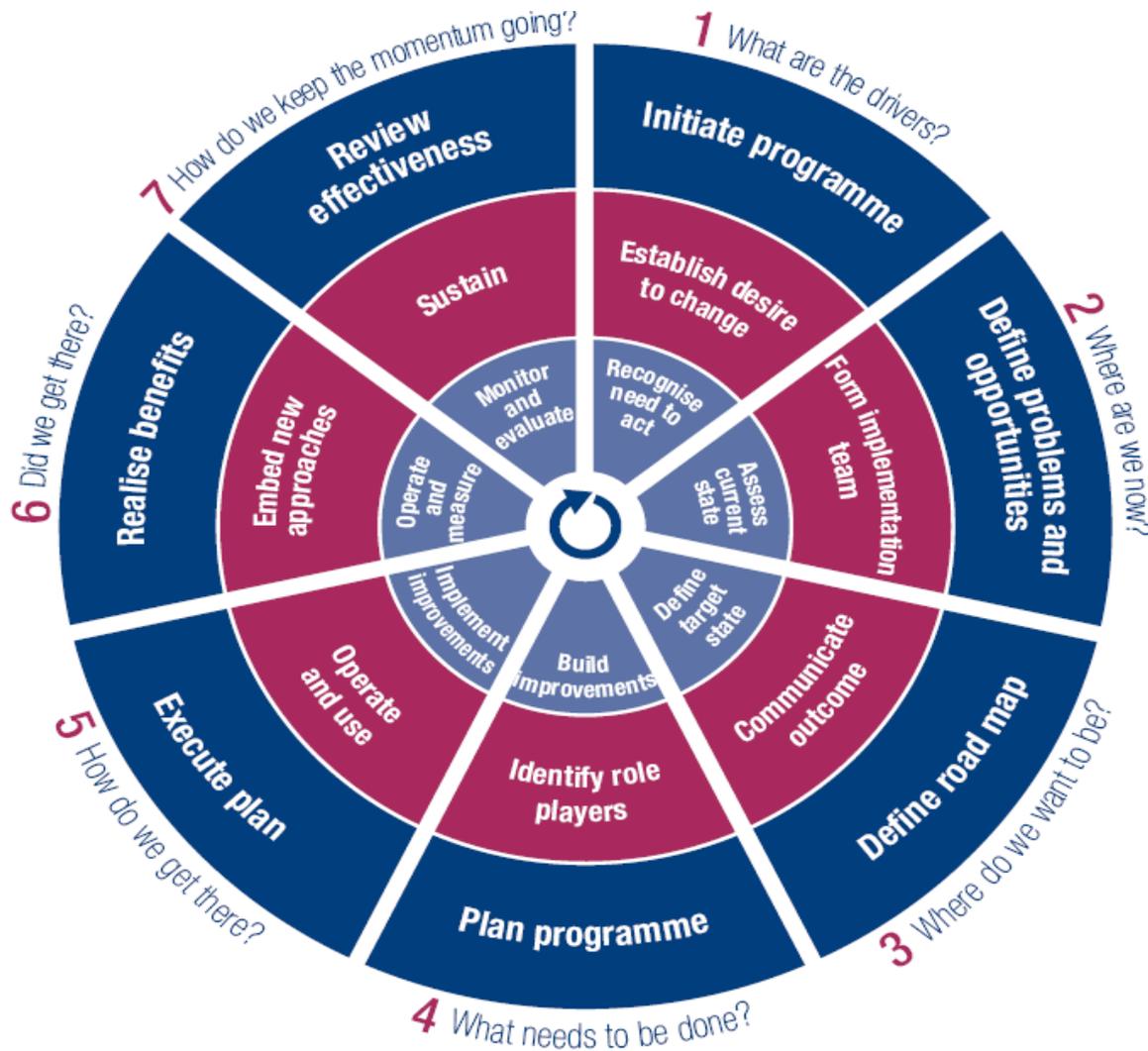


# Principle 5: Separating Governance from Management

Business Needs



# Implementation Lifecycle

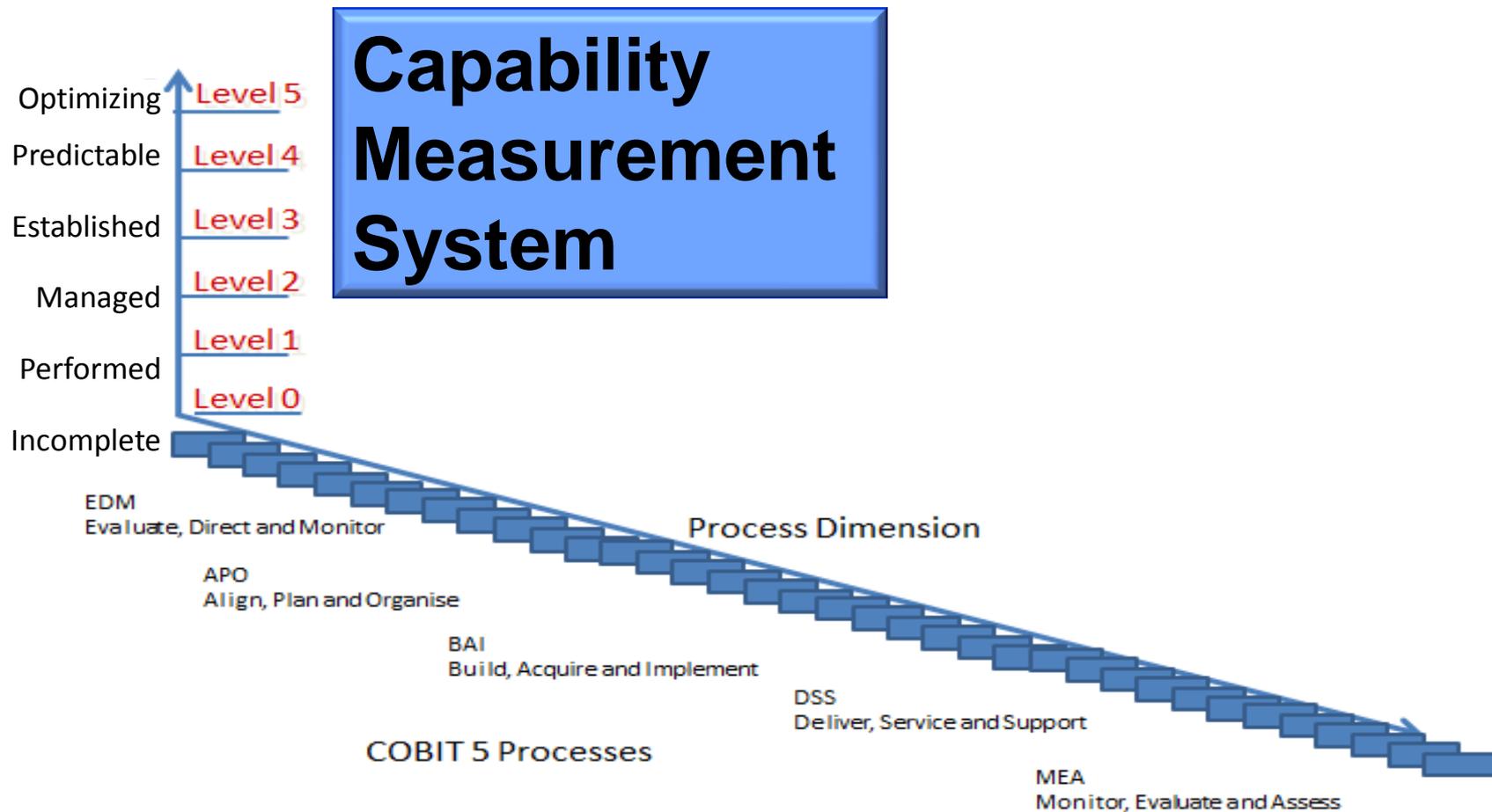


- **Programme management** (outer ring)
- **Change enablement** (middle ring)
- **Continual improvement life cycle** (inner ring)

# Process Capability Assessment Approach

- Detailed guidance for COBIT® 5
- ISO/IEC 15504 Compliant method
- COBIT® 5 Enabling Processes are defined as ISO/IEC 15504 compliant Process Reference Model (PRM)
- Raises bar – incomplete process if there is not evidence (metrics and work products) that purpose/goals are largely achieved
- Aligns with ITIL TIPA Assessment method

# COBIT® 5 Process Assessment Method



# COBIT® 5 Process Assessment Method



EDM  
Evaluate, Direct and Monitor

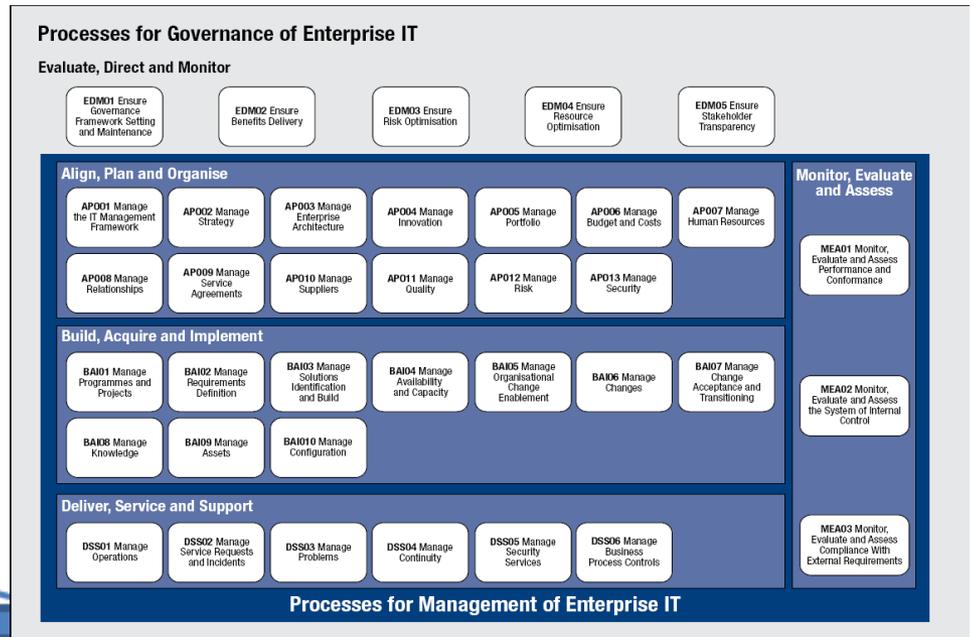
APO  
Align, Plan and Organise

BAI  
Build, Acquire and Implement

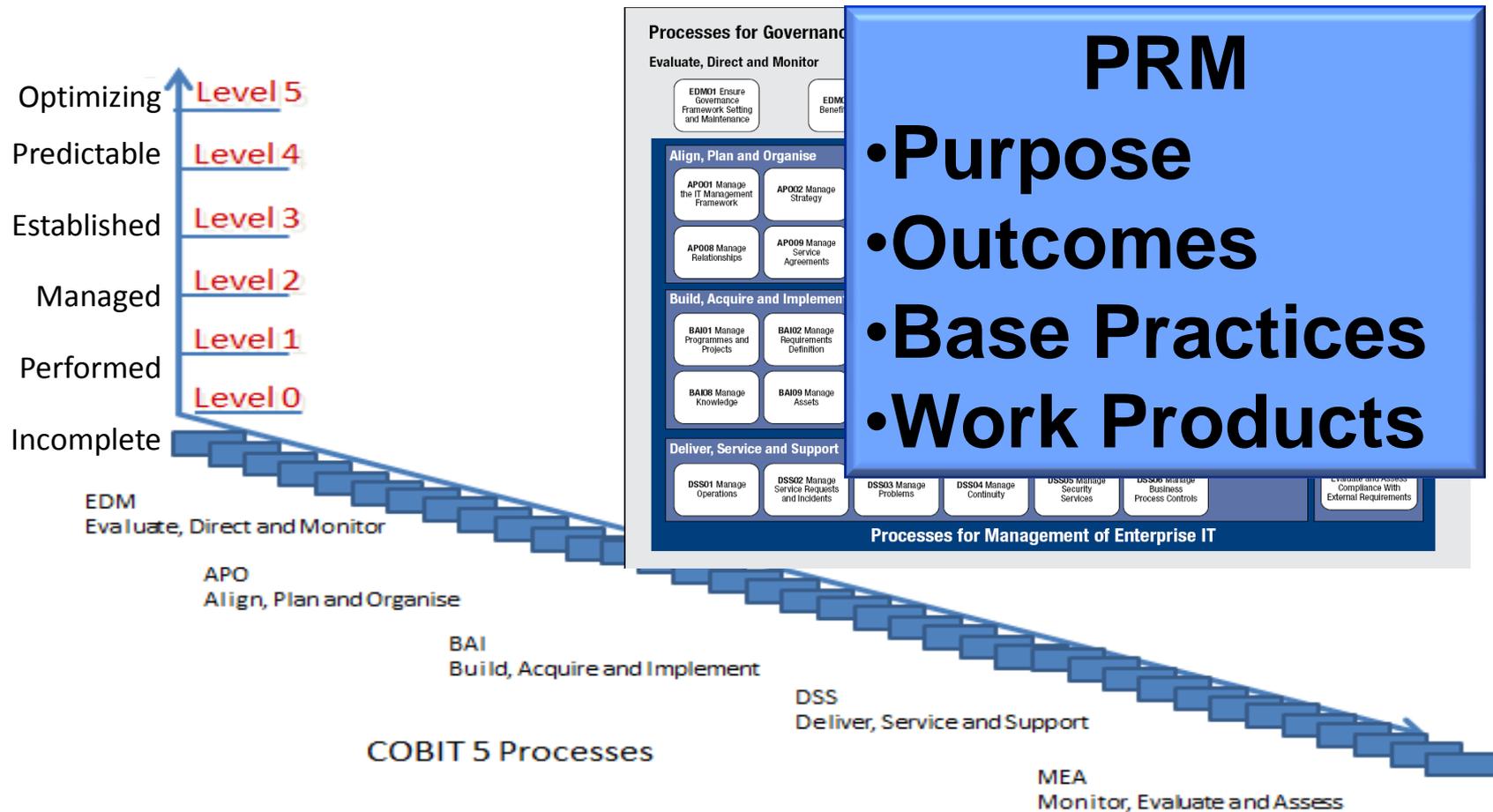
COBIT 5 Processes

DSS  
Deliver, Service and Support

MEA  
Monitor, Evaluate and Assess



# COBIT® 5 Process Assessment Method



# COBIT® 5 Enabling Processes



*Enabling Processes*



Personal Copy of: Ms. Debra L. Mallette

- Goals Cascade
- Process Model Explanation
- Diagram of Model
- Details for 37 COBIT® 5 Processes:
  - Purpose
  - Practices
  - Goals & Metrics
  - Activities & RACI
  - Work Products

# Processes for Governance of Enterprise IT

## Evaluate, Direct and Monitor

**EDM01** Ensure Governance Framework Setting and Maintenance

**EDM02** Ensure Benefits Delivery

**EDM03** Ensure Risk Optimisation

**EDM04** Ensure Resource Optimisation

**EDM05** Ensure Stakeholder Transparency

### Align, Plan and Organise

**AP001** Manage the IT Management Framework

**AP002** Manage Strategy

**AP003** Manage Enterprise Architecture

**AP004** Manage Innovation

**AP005** Manage Portfolio

**AP006** Manage Budget and Costs

**AP007** Manage Human Resources

**AP008** Manage Relationships

**AP009** Manage Service Agreements

**AP010** Manage Suppliers

**AP011** Manage Quality

**AP012** Manage Risk

**AP013** Manage Security

### Build, Acquire and Implement

**BAI01** Manage Programmes and Projects

**BAI02** Manage Requirements Definition

**BAI03** Manage Solutions Identification and Build

**BAI04** Manage Availability and Capacity

**BAI05** Manage Organisational Change Enablement

**BAI06** Manage Changes

**BAI07** Manage Change Acceptance and Transitioning

**BAI08** Manage Knowledge

**BAI09** Manage Assets

**BAI10** Manage Configuration

### Deliver, Service and Support

**DSS01** Manage Operations

**DSS02** Manage Service Requests and Incidents

**DSS03** Manage Problems

**DSS04** Manage Continuity

**DSS05** Manage Security Services

**DSS06** Manage Business Process Controls

### Monitor, Evaluate and Assess

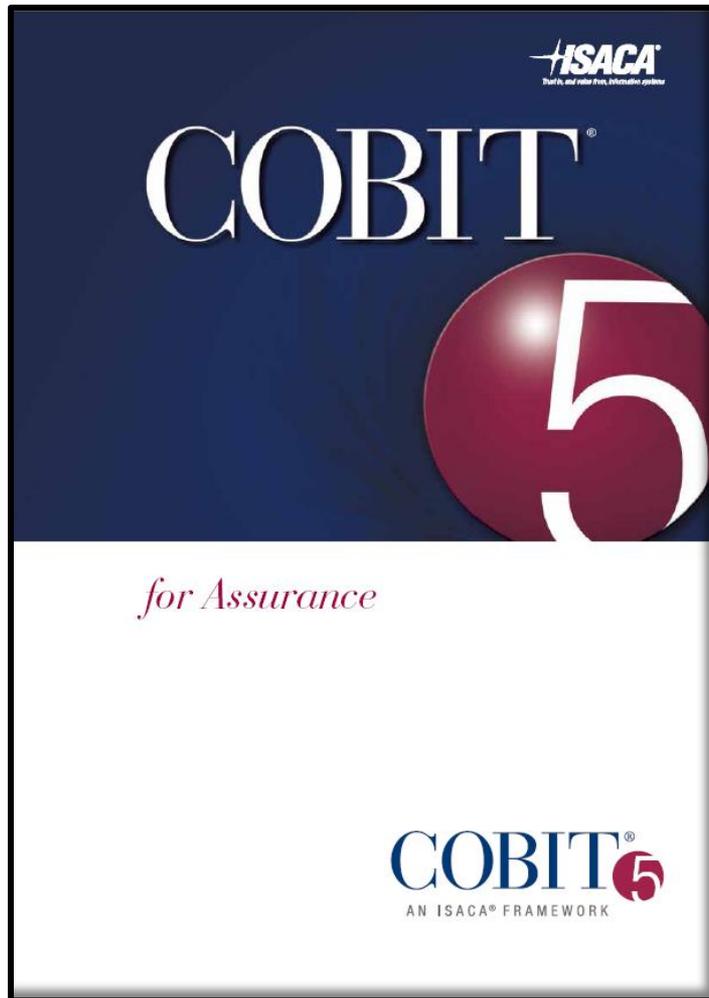
**MEA01** Monitor, Evaluate and Assess Performance and Conformance

**MEA02** Monitor, Evaluate and Assess the System of Internal Control

**MEA03** Monitor, Evaluate and Assess Compliance With External Requirements

## Processes for Management of Enterprise IT

# COBIT® 5 for Assurance

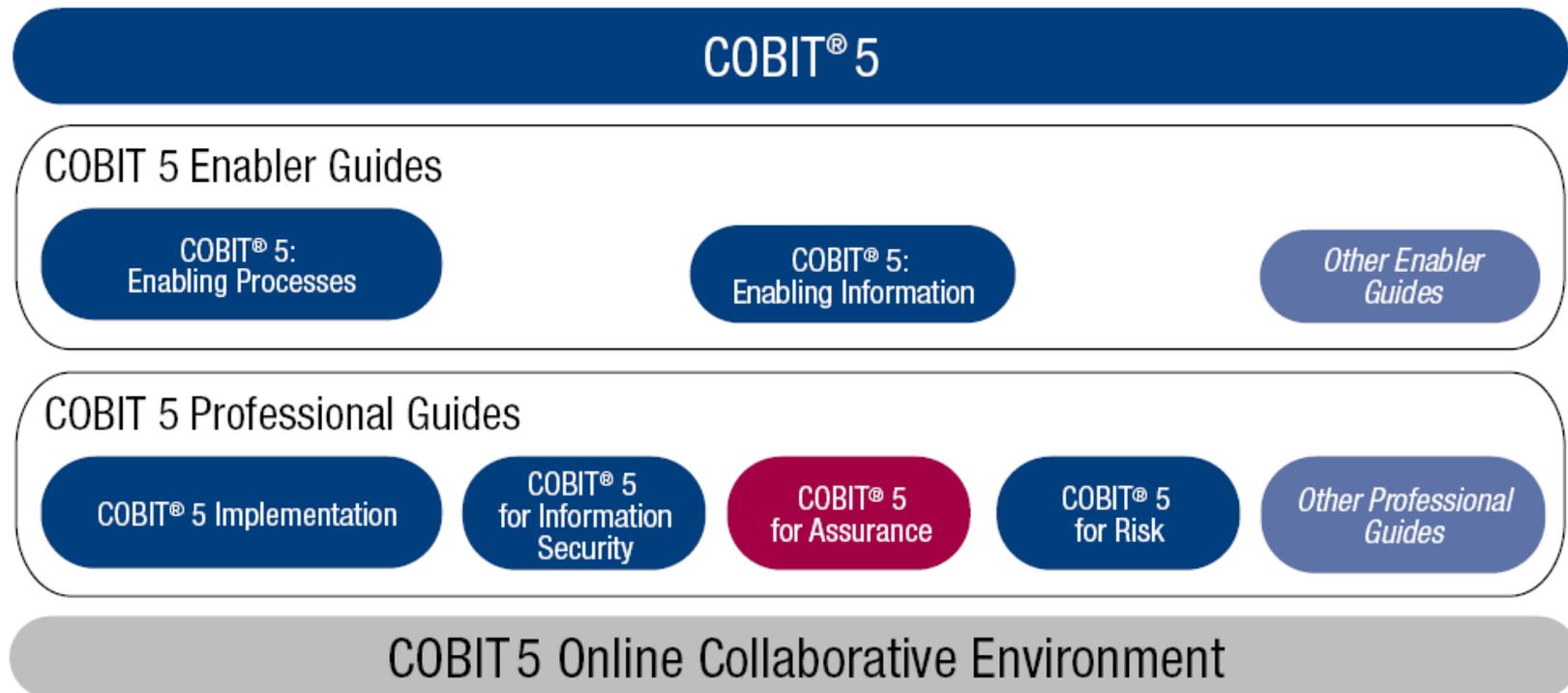


Just released this year

- eBook and Book Formats
- Laminates
- Online Preview
- Online Introduction Presentation
- <http://www.isaca.org/COBIT/Pages/Assurance-product-page.aspx>

# COBIT® 5 Product Family and COBIT® 5 for Assurance

Figure 1—COBIT 5 Product Family



# COBIT® 5 for Assurance

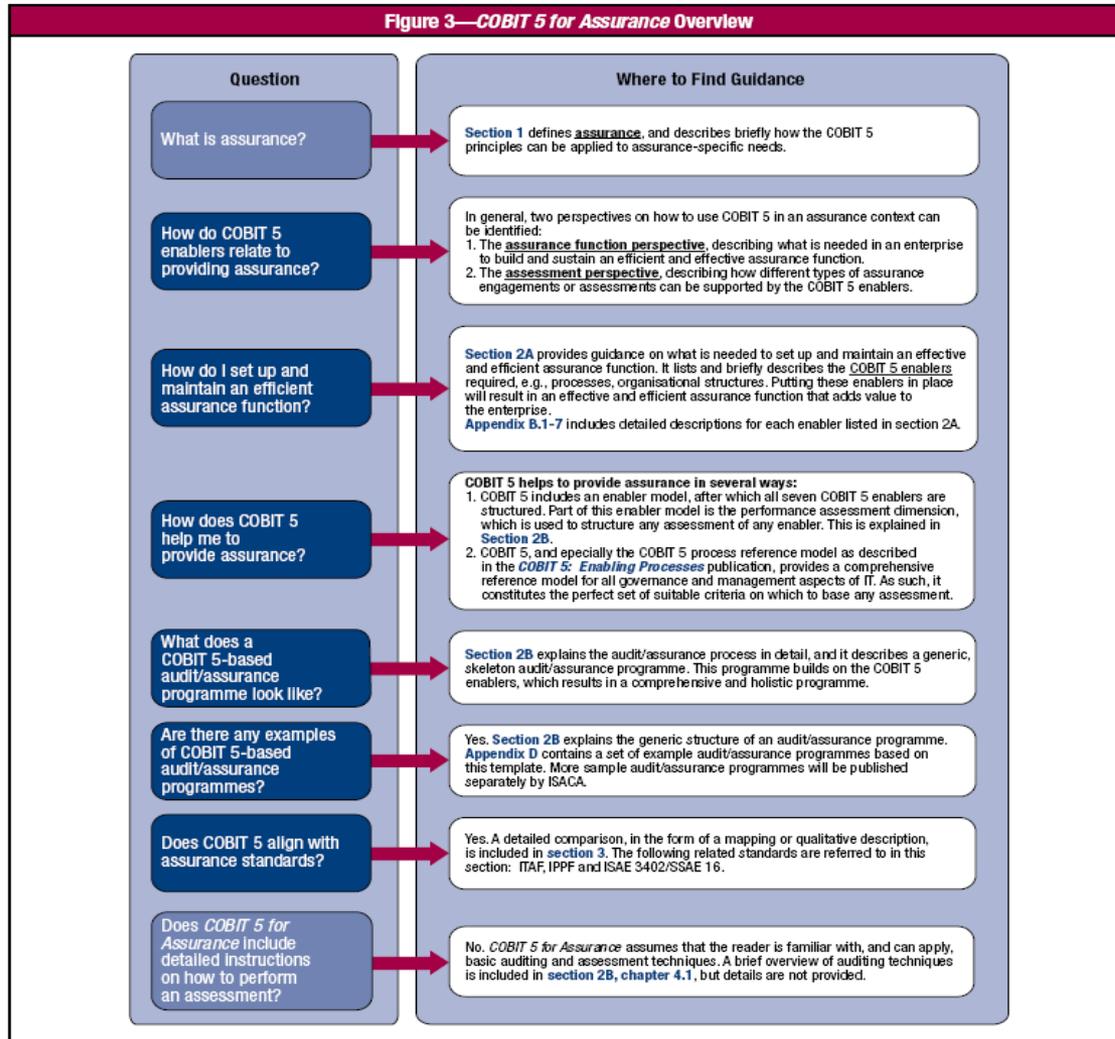
## Target Audience and Benefits

The intended audience for *COBIT 5 for Assurance* is extensive, as are the reasons for adopting and using the framework and the benefits each group can find in it (**figure 2**). All of the roles listed in **figure 2** can be considered stakeholders for assurance provisioning.

**Figure 2—COBIT 5 for Assurance Target Audience and Benefits**

Role	Benefit of/Reason for Adopting and Adapting <i>COBIT 5 for Assurance</i>
<ul style="list-style-type: none"> <li>Boards and executive management</li> <li>Audit committee</li> </ul>	<ul style="list-style-type: none"> <li>Better understanding of their responsibilities and roles with regard to assurance provisioning</li> <li>Obtaining reliable assurance over governance and management of IT and how these contribute to the achievement of the enterprise's value objective</li> </ul>
Auditors	<ul style="list-style-type: none"> <li>Better understanding of their responsibilities and roles with regard to assurance provisioning</li> <li>Having a well-illustrated, structured and comprehensive approach for providing assurance over IT</li> </ul>
External auditors	Having a structured framework that provides a common language amongst all stakeholders to provide assurance over specific IT areas
<ul style="list-style-type: none"> <li>Chief information officer (CIO) and IT management</li> <li>Business management</li> </ul>	Having a structured framework that provides a common language to assess performance and conformance of IT
Compliance	<ul style="list-style-type: none"> <li>Better understanding of their responsibilities and roles with regard to assurance provisioning</li> <li>Having a well-illustrated, structured and comprehensive approach for verifying and ensuring IT-related compliance</li> </ul>
Regulators	<ul style="list-style-type: none"> <li>Having a structured framework that provides a common language to express regulatory requirements</li> <li>Having a well-illustrated, structured and comprehensive approach for providing assurance over IT regulatory requirements</li> </ul>

# COBIT® 5 for Assurance Overview



# COBIT® 5 for Assurance Overview: What is Assurance?

**Section 1** defines assurance, and describes briefly how the COBIT® 5 principles can be applied to assurance-specific needs.

# COBIT® 5 for Assurance Overview:

## How do COBIT® 5 enablers relate to providing assurance?

In general, two perspectives on how to use COBIT® 5 in an assurance context be identified:

1. The assurance function perspective, describing what is needed in an enterprise to build and sustain an efficient and effective assurance function.
2. The assessment perspective, describing how different types of assurance engagements or assessments can be supported by COBIT® 5 enablers.

# COBIT® 5 for Assurance Overview:

How do I set up and maintain an efficient assurance function?

**Section 2A** provides guidance on what is needed to set up and maintain an effective and efficient assurance function. It lists and briefly describes COBIT® 5 enablers required, e.g., processes, organizational structures. Putting these enablers in place will result in an effective and efficient assurance function that adds value to the enterprise.

**Appendix B.1-7** includes detailed descriptions for each enabler listed in **section 2A**

## COBIT® 5 for Assurance Overview:

How does COBIT® 5 help me to provide assurance?

COBIT® 5 helps to provide assurance in several ways:

1. COBIT® 5 includes an enabler model, after which all seven COBIT® 5 enablers are structured. Part of this enabler model is the performance assessment dimension, which is used to structure any assessment of any enabler. This is explained in **Section 2B**.

## COBIT® 5 for Assurance Overview:

How does COBIT® 5 help me to provide assurance?

COBIT® 5 helps to provide assurance in several ways:

2. COBIT® 5 , and especially the COBIT® 5 process reference model as described in the COBIT® 5 Enabling Processes publication, provides a comprehensive reference model for all governance and management aspects of IT. As such, it constitutes the perfect set of suitable criteria on which to base any assessment.

# COBIT® 5 for Assurance Overview: What does a COBIT® 5 -based audit/assurance program look like?

**Section 2B** explains the audit/assurance process in detail, and it describes a generic skeleton audit/assurance program. This program builds on the COBIT® 5 enablers, which results in a comprehensive and holistic program.

# COBIT® 5 for Assurance Overview:

## Are there any examples of COBIT® 5 -based audit/assurance programs?

Yes, **Section 2B** explains the generic structure of an audit/assurance program. **Appendix D** contains a set of example audit/assurance programs based on this template. More sample audit/assurance programs will be published separately by ISACA.

# COBIT® 5 for Assurance Overview:

## Does COBIT® 5 align with assurance standards?

Yes, a detailed comparison, in the form of a mapping or qualitative description is included in **section 3**. The following related standards are referred to in this section: ITAF, IPPF and ISAE 3402/SSAE 16.

## COBIT® 5 for Assurance Overview:

Does *COBIT® 5 for Assurance* include detailed instructions on how to perform an assessment?

No. *COBIT® 5 for Assurance* assumes the reader is familiar with, and can apply, basic auditing and assessment techniques. A brief overview of auditing techniques is included in **section 2B, chapter 4.1**, but details are not provided.

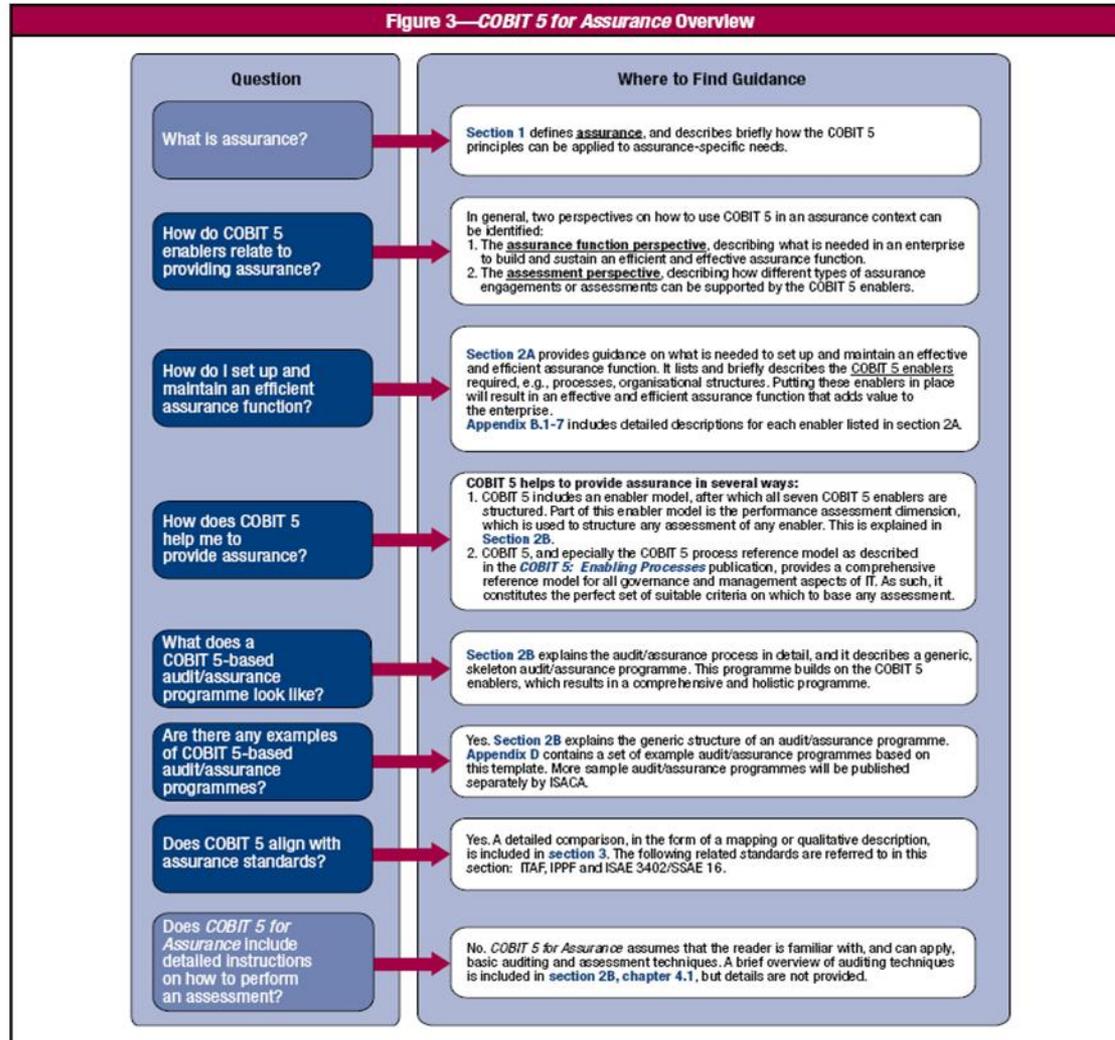
# COBIT® 5 Deep Dive Summary

## COBIT® 5

- Business Framework
  - Five Principles
  - Seven Enablers
  - Governance and Management
- Enabling Processes
- Implementation Life Cycle
- Process Capability Assessment
- Assurance

# COBIT® 5 for Assurance Overview

Figure 3—COBIT 5 for Assurance Overview



# Thanks!

*Great ideas need landing gear as well as wings.*  
~C.D. Jackson

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